

Electronic Acknowledgement Receipt

EFS ID:	4558269
Application Number:	09815589
International Application Number:	
Confirmation Number:	7446
Title of Invention:	Exchange trading of mutual funds or other portfolio basket products
First Named Inventor/Applicant Name:	Gary L. Gastineau
Customer Number:	22930
Filer:	Michael Jay Stimson/Joan Gordon
Filer Authorized By:	Michael Jay Stimson
Attorney Docket Number:	00322.0007.CNUS01
Receipt Date:	05-JAN-2009
Filing Date:	23-MAR-2001
Time Stamp:	19:45:53
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 180
RAM confirmation Number	4334
Deposit Account	083038
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:
Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement Letter	SIDS.pdf	35095	no	2
			5ca9bc3dec70d942cdba08f2d05ef484340dde62		
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Filed (SB/08)	sb0008a.pdf	57441	no	2
			ed2aac996a44bffa2d1d701dc20c3da72bd771a		
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
3	Information Disclosure Statement (IDS) Filed (SB/08)	sb0008b.pdf	240780	no	2
			2bfa0ffd4271b4de47fd2fc89ae49cbbcba34e2		
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
4	NPL Documents	C1.pdf	1284852	no	39
			600129e8091329ea48897f13e67285f3e3d5b808		
Warnings:					
Information:					
5	NPL Documents	C2.pdf	183271	no	7
			a217924144e6473eaa5a7298c505200227763a5b		
Warnings:					
Information:					
6	Fee Worksheet (PTO-06)	fee-info.pdf	30103	no	2
			0408b7ec25e8b8ce4e360854ef98fcc195040311		
Warnings:					
Information:					
Total Files Size (in bytes):			1831542		

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.